

SEELAUS

A WOMEN-OWNED
BUSINESS ENTERPRISE

SEC Rule 607 Disclosure

Securities and Exchange Commission Rule 607 requires all registered broker-dealers to provide disclosures to customers about payment for order flow practices upon the opening of a new account and annually thereafter. R. Seelaus & Co., LLC (“RSCO”) sends certain equity orders to exchanges, electronic communication networks, or broker-dealers during normal business hours and during extending trading sessions. Some of those market centers may provide payments or charge access fees to RSCO depending upon the characteristics of the order and any subsequent executions. Information on these payments can be found by viewing RSCO’s SEC Rule 606 Quarterly Routing Disclosure reports either via our clearing firm Pershing or through our Order Management System Vendor SS&C technologies. In addition, a paper copy may also be provided on request, along with any other details of these payments and fees. RSCO may receive compensation from routing exchange-listed options routed to broker-dealer intermediaries, which may utilize smart order routing technology or customized algorithms to achieve the best execution available under the particular circumstances of the specific transaction requested.

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